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PTO/SB/17 (01-03)  
Approved for use through 04/30/2003. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 240.00

## Complete if Known

Application Number 10/086,619  
Filing Date 3/1/2002  
First Named Inventor Stevenson, Don R., et al.  
Examiner Name Thexton, Matthew  
Art Unit 1714  
Attorney Docket No. 47399-0015

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### METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

50-0983

Buckingham, Doolittle

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1) (\$)			0.00

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims  -20\*\* =  X  =  0.00  
Independent Claims  -3\*\* =  X  =  0.00  
Multiple Dependent  =

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	240.00
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 240.00

### SUBMITTED BY

(Complete if applicable)

Name (Print/Type) Louis F. Wagner  
Registration No. (Attorney/Agent) 35,730  
Telephone (330) 258-6453  
Signature   
Date July 3, 2003

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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IN THE UNITED STATES PATENT & TRADEMARK OFFICE

**Applicant:** Stevenson, Don R., et al **Examiner:** Thexton, Matthew  
**Serial #:** 10/086,619 **Art Unit:** 1714  
**Filing Date:** March 1, 2002 **Date:** June 24, 2003  
**Title:** Phosphite Ester Additive Compositions

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Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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**Second Supplemental Information Disclosure Statement**

This Information Disclosure Statement later than: (1) three months after the filing date of the application §1.97(b)(1); (2) within three months of the date of entry of the national stage as set forth in §1.491 in an international application §1.97(b)(2); (3) before the mailing date of a first Office action on the merits §1.97(b)(3); or (4) before the mailing of a first Office action after the filing of a request for continued examination under §1.97, and therefore, this statement is accompanied with the fee set forth in 37 CFR §1.17(p) for submission under §1.97(c) (\$180).

According to the terms of 37 C.F.R. §1.97(g), this Disclosure Statement shall not be construed as a representation that a search has been made or that no other material information as defined in 37 C.F.R. §1.56(a) exists. While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. §1.56(b), it is not intended to constitute admission that any patent, publication or other information referred to therein is "material to patentability" under 37 C.F.R. §1.97(h) for this invention unless specifically designated.

In accordance with 37 C.F.R. §1.56, applicant wishes to call the attention of the Examiner to the following references, which were uncovered by the applicant. Copies of these references are also submitted herewith along with form PTO-1449, as well as summaries of the references.

**U.S. Patent Documents**

Applicant previously provided U.S. Patents in its Information Disclosure Statement filed April 9, 1002. The following are additional U.S. Patents.

07/09/2003 MAHMED1 00000110 10086619

01 FC:1806

180.00 OP

Repln. Ref: 07/09/2003 MAHMED1 0022185700  
DAN:500983 Name/Number:10086619  
FC: 9204 \$60.00 CR



Ref. #	Patent #	Inventor	Publication Date
D1	US 4,125,501	Haberlein et al.	14-Nov- 1978
	Abstract	Phosphites of Sugar Alcohols and Polymers Stabilized Therewith	
Ref. #	Patent #	Inventor	Publication Date
D2	US 4,174,297	Leistner et al.	13-Nov-1979
	Abstract	Polyhydric Phenol Coester Stabilizers	
Ref. #	Patent #	Inventor	Publication Date
D3	US 5,364,895	Stevenson et al.	15 Nov 1994
	Abstract	Hydrolytically Stable Pentaerythritol Diphosphites	
Ref. #	Patent #	Inventor	Publication Date
D4	US 5,532,401	Stevenson et al.	02-Jul-1996
	Abstract	Process for Production of Tris(Nonylphenyl) Phosphite	
Ref. #	Patent #	Inventor	Publication Date
D5	US 5,714,095	Henrio et al.	03-Feb-1998
	Abstract	Composition for chlorine-Containing Polymer Based on Beta-Diketone and Acetylacetonate	
Ref. #	Patent #	Inventor	Publication Date
D6	US 6,046,263	Rasberger et al.	04-Apr-2000
	Abstract	Liquid Antioxidants as Stabilizers	
Ref. #	Patent #	Inventor	Publication Date
D7	US 6,362,260	Stevenson et al.	26-Mar-2002
	Abstract	Phenol-Free Phosphite Stabilizers	

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### **Foreign Patent Documents**

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No foreign documents are in the possession of the applicant at this time.

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### **Other Documents**

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PCT International Preliminary Examination Report dated 30 April 2003,  
International Application No. PCT/US02/06189.

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**Presentation at National Meetings**

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Previously provided in applicant's Supplemental Information Disclosure Statement filed April 17, 2002.

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**Presentations at Invited Seminars**

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To the knowledge of the applicant, there has been no presentation of this subject matter at invited seminars.

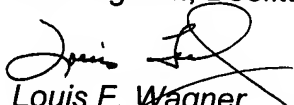
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**Best Information Available**

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This Information Disclosure Statement is based upon the information contained in the undersigned attorney's file as of the filing date of this statement and is inclusive of the best information known to the undersigned at that date. Applicant submits that the above references taken alone or in combination neither anticipate nor render obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

Respectfully Submitted,  
Buckingham, Doolittle & Burroughs, LLP

  
Louis F. Wagner  
Registration No.: 35,730

LFW/dl

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Attorney Docket # 47399-0015  
«AK3:645213\_1»

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet	1	of	37
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**Complete if Known**

<b>Application Number</b>	10/086,619
<b>Filing Date</b>	3/1/2002
<b>First Named Inventor</b>	Stevenson, et al
<b>Art Unit</b>	Thexton, Matthew
<b>Examiner Name</b>	1714
<b>Attorney Docket Number</b>	47399-0015

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner  
Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	2	of	37
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**Complete if Known**

<b>Application Number</b>	10/086.619
<b>Filing Date</b>	3/1/2002
<b>First Named Inventor</b>	Stevenson, et al.
Group Art Unit	Thexton, Matthew
Examiner Name	1714
Attorney Docket Number	47399-0015

#### **OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

[illegible]

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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